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## ISBN-13: A Publisher's Checklist

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3. Should **Library of Congress CIP** data be adapted to conform to the new **ISBN** format (i.e., pairs of **ISBNs** by manifestation) as mandated by the **IIA** guidelines?

There was strong disagreement on this issue. Some held the opinion that since **CIP** data had been based on the machine-readable card format for decades and, secondly, since it is indeed "virtual" metadata (i.e., printed in the book, but not part of the content), we should not alter the structure of **ISBNs** in **CIP** data to accommodate the **IIA** prescribed format for **ISBN-13** and **ISBN-10**.

*However, after considering the dilemma facing publishers having to print twice as many ISBNs in the book for each manifestation, we reached a compromise.*

#### Interim Compromise

During the interim period from January 1, 2005 through January 1, 2007, pairs of **13-** and **10-digit ISBNs** would appear in the prescribed format within the **CIP** data, but if a record contained more than two such pairs of **ISBNs**, only the first two pairs would appear in the data followed by "[etc.]" This limitation was intended to address space considerations. But, beginning January 1, 2007, **CIP** data would revert to the traditional format, comprised of only **13-digit ISBNs**.

4. When would the necessary revisions to the **Library of Congress'** online systems and software applications be completed?  
*Bibliographic systems and software experts at LC reported that all necessary revisions to online systems and software applications could be completed by July 1, 2004. However, after a series of consultations, our bibliographic partner institutions and the BISAC Metadata Committee agreed to an official implementation date of October 1, 2004. This would allow our partner institutions to adequately prepare their bibliographic information systems for ISBN-13 implementation, and, at the same time, grant publishers sufficient time (i.e., prior to the start of the interim period) to submit CIP and PCN applications containing 13-digit ISBNs for forthcoming books to be published during the interim period. In addition, the ALA Annual Conference in Orlando (mid-June 2004) would provide further opportunity for the various stakeholders to con-*

sult with one another regarding any remaining implementation issues. For example, the **CIP Division** intended to discuss the proposed changes to the **CIP** data format at the meeting of the **CIP Advisory Group**.

#### May 2004


**LC** began distribution of the official **Library of Congress** policy statement for implementation of the **13-digit ISBN** to constituent groups including publishers, librarians, and **LC** staff members. Among the intended audiences were: the **BISAC Metadata Committee**, **Library of Congress MARC Distribution Services (MDS)** subscribers, **Program for Cooperative Cataloging** institutions, and the **National Library of Medicine** (a **CIP** cooperative cataloging institution). The **ISBN-13** policy statement was made available online on the **CPSO** and **CIP/PCN** Websites, and summarized in a **Library of Congress Cataloging Newsline** article. **Library of Congress** staff, including catalogers, technicians, and **CIP** publisher liaisons also received a revised **Library of Congress Rule Interpretation (LCRI 1.8)**, which provides detailed instructions on the new **ISBN-13** format and how to record the numbers in the **MARC21** record.

#### October 2004

With all systems and software application updates in place well in advance of the implementation date, the **Library of Congress** began accepting **13-digit ISBNs**. The only issue that has arisen since that time is the question of unpaired **13-digit ISBNs** (i.e., without a corresponding **10-digit** number). Although **Library of Congress** catalogers were instructed not to include single **13-digit ISBNs** in the bibliographic record, upon further reflection, we decided that a rare occurrence of an unpaired **ISBN-13** would still provide valid descriptive information and aid the user in searching for a particular title.

#### February 2005

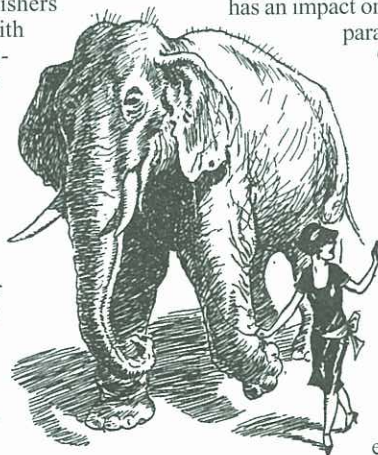
During the last four months, more than 500 bibliographic records containing pairs of **13-** and **10-digit ISBNs** have been created and distributed; the vast majority of them were products of our **Electronic CIP** program (<http://cip.loc.gov/>). We anticipate that these numbers will increase dramatically during the next year, particularly as more and more publishers begin to supply **13-digit ISBNs** for forthcoming publications via the **CIP** and **PCN** programs.

Full text of the "Library of Congress Plan to Accommodate 13-digit ISBN" is available online at: <http://www.loc.gov/catdir/cpsol/13digit.html>. 

## ISBN-13: A Publisher's Checklist

by **Greg Giblin** (Director of Market Development, STM Division, John Wiley and Sons, Inc.) <[ggiblin@wiley.com](mailto:ggiblin@wiley.com)>

Implementation of **ISBN-13** represents a unique challenge to publishers. By January 1, 2007 all publishers must be fully compliant with the new **ISBN-13** standard. Systems must be able to work with the new standard and be interoperable internally as well as with trading partners and customers. The purpose of this article is to remind fellow publishers that major changes are afoot and to present some of the key issues involved in making a smooth transition into the new **ISBN-13** environment.



#### Involve All Stakeholders

To publishers, the conversion to **ISBN-13** has an impact on the organization that is comparable to that of **Y2K** in the late 90s. Or for the less dramatic, the addition of a three digit area code to formerly seven digit phone numbers. In order to address the multifaceted aspects of this new standard, publishers need to develop a coordinated global effort that includes compliance and participation of all its respective publishing centers across North America, Europe, Asia and Australia. Additionally, publishers often have several publishing groups or divi-

sions within their larger organization, such as Trade/Consumer, Professional, Scientific, Technical and Medical, and Higher Education divisions. Cross-divisional collaboration is critical because workflows, reporting systems, distribution channels and trading partners can all vary due to the nature of these respective businesses.

As well, representation is needed from all operational and support areas such as IT, distribution, production, and finance. These groups will be heavily involved in many aspects and phases of the new system's implementation.

#### Implement in Phases

In order to successfully migrate to the new standard, publishers need to create a timeline for implementation that addresses all relevant internal and external dependencies. Because the **ISBN** drives so many of our systems, pub-

*continued on page 26*



## ISBN-13: A Publisher's Checklist from page 24

lishers must consider every area of the business — from finance and accounting to editorial, production, product information, distribution, inventory, sales and marketing.

An audit must be performed of all potentially affected internal systems across the organization, regardless of location or division within the company, including older and infrequently used systems. Once completed, a list of priorities can be established and a schedule for phased implementation can be created. The most complex systems such as financial and accounting can be put on a longer development cycle while less complex systems such as sales and marketing can be put on a fast track.

### Wiley's Calendar

The following is a high level (external) view of **Wiley's** implementation schedule, demonstrating the idea of a phased approach:

#### December 2004

- Internal systems will start to carry both ISBNs

#### January 2005

- Internal reports reflect dual ISBNs
- Distribution accepts dual numbering ISBNs on manual orders

#### May 2005

- Catalogs and promotion pieces will start to carry both ISBNs
- TIP sheets to carry both ISBNs

#### September 2005

- ISBN-10 and -13 are put on copyright page of all new titles and reprints
- Bookland EAN replaces UPC identifier on all new publications and those being reprinted

#### September 2006

- Jackets/covers converted at reprint to ISBN-13 instead of ISBN-10 above bar code

#### January 2007

- Only ISBN-13 appears on copyright pages
- Jackets/covers of new titles are printed with ISBN-13 only

### Key Considerations

Here is a quick check-list of systems that publishers need to take into consideration with the implementation of ISBN-13:

- Finance and accounting systems (including royalties)
- Production (covers, CIP data, eBooks, etc.)
- Distribution (ordering and fulfillment)
- Marketing (catalogs, order forms, Websites, etc.)
- Product Information (data feeds, title databases, etc.)
- Sales (reporting, rights, etc.)

### Action Points

- Start now. Effective January 1, 2007 publishers must be able to operate in an ISBN-13 environment. While this may seem like

a long way off, January 1, 2007 will be here before you know it.

- Develop a plan that includes all stakeholders within your organization. In some cases this will include colleagues from different publishing centers, locations, and operating units. Be sure to have representation from cross-functional areas such as IT, distribution, finance, production, marketing, sales, etc.
- Conduct an audit of all internal systems across all publishing centers, locations and operating units. Be sure to include infrequently used or older systems. Given the ISBN anchors of so many systems and processes it is critical to ensure you've captured them all.
- Phase implementation. Your audit will allow you to identify and prioritize key systems and issues. More complex systems can run on a longer development or migration cycle while less complex systems can be put on a faster track.
- Talk to your trading partners, vendors and customers. Many potential pitfalls can be preempted by communicating and collaborating with your trading partners. The sharing of plans and timelines will lead to an effective and smooth implementation.

As with every major standard change, the more time an organization allocates to system compliance the better. If publishers adopt the ISBN-13 standard throughout their organization by the mandated date, they will guarantee themselves a very happy New Year in 2007. 🐉

## Caught in the Middle: The Vendor's Perspective on ISBN-13

by **Wendell Lotz** (Vice President, Product Database Development, Ingram Book Group) <wendell.lotz@ingrambook.com>



Inevitably, materials vendors bridge the gap between content creators (publishers) and end users (retailers, libraries and library systems). Accurate communication is the key, and during the transition to ISBN-13, the material vendor must accommodate every possible combination/variation on either side. Some have suggested that the transition to ISBN-13 is similar in scope to the Y2K projects we all endured several years ago. At **Ingram** we believe the project is just that extensive, touching virtually every process that is product oriented, but that it is eminently achievable with careful and detailed planning. Also, thankfully, the industry's computers will not blow up on December 31, 2006 nor will the world come grinding to a halt. However, inadequate preparation will result in trading partners sending or receiving the wrong product causing service resolution efforts to ripple throughout the organization.

In order to avoid such costs **Ingram** began its preparations by convening a team of all the

computer applications managers in the early spring of 2004. Because we distribute music, video, and other products which are governed by UPC codes, rather than ISBNs, an early decision made at these planning meetings was to split the project into two phases. The 2004 phase was designed to prepare the organization for **Sunrise 2005**, the seminal event in retailing whereby the general retailers of the North American continent were instructed by the **Uniform Code Council** to be prepared to handle 13-digit identifiers (in the form of EANs) as well as the historical 12-digit UPC.

The process at **Ingram** was eased somewhat by the use of a surrogate key (a non-ISBN control number) in most systems. As a result of the surrogate key the preparation for EAN, and subsequently ISBN-13, required the addition of a column for a 13-digit entity in the primary databases. Cross-reference tables between the values in the 13-digit column (called "Preferred EAN" in **Ingram** nomenclature), then allow any

### 13-digit identifier

to be mapped to its surrogate key and legacy processes to take over processing with that identifier in hand.

For vendors that do not use a surrogate key in place of the ISBN, the transition has been or will be more complex.

All the above was accomplished before the fall selling season and, at this writing, we patiently await the first EAN representing a non-book product. Ordering systems, purchase order acknowledgements, electronic invoices and other standard EDI documents can now "talk 13" in all the standard formats such as X.12, EDIFACT, Flashback, TRADACOMS, etc.

The second phase of the **Ingram** plan will focus on documents that might best be described as communication documents (as opposed to order processing documents). In this phase the focus will be on communicating in both

*continued on page 28*